

10/572316 PCT/PTO 17 MAR 2006

Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371		Attorney Docket: 27233U U.S. Application No.: Not Yet Assigned <b>10/572316</b>
International Application No.: PCT/EP2004/052265	International Filing Date: 22 Sept. 2004	Priority Date Claimed: 24 Sept. 2003
Title of Invention: COMPLIANCE MONITOR AND METHOD		
Applicants for DO/EO/US: FINK-WAGNER, Antje-Heriette; JONGEJAN, Roberto; FERRIS, Christopher		
Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 USC 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)): <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> A English translation of the International Application as filed (35 U.S.C. 371(c)(2)).</li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>		
<b>ITEMS 11 to 20 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED:</b>		
<ol style="list-style-type: none"> <li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825</li> <li>18. <input type="checkbox"/> A second copy of the published international application under 35 USC 154(d)(4)</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 USC 154(d)(4)</li> </ol>		

U.S. Application No.: <b>10/572316</b> Not Yet Assigned	International Application No.: <b>PCT/EP2004/052265</b>	Attorney Docket: 27233U												
20. <input checked="" type="checkbox"/> Other items or information: TRANSMITTAL LETTER; APPLICATION DATA SHEET; INTERNATIONAL PUBLICATION NUMBER: WO 2005/028008 A1, WITH PCT/ISA/210 (INTERNATIONAL SEARCH REPORT); INTERNATIONAL PUBLICATION DATE: 31 MARCH 2005 (31.03.2005), WHICH CONSISTS OF 21 PAGES: 2 PAGES FOR THE COVER SHEET, WITH ABSTRACT, 8 PAGES OF TEXTUAL SPECIFICATION, 3 PAGES OF 24 CLAIMS, 8 SHEETS OF DRAWINGS; <b>PRELIMINARY AMENDMENT WITH APPENDICES A, B, AND C, TO BE EXAMINED</b> ; UNEXECUTED DECLARATION AND POWER OF ATTORNEY; PCT/ISA/237 (WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY); PCT/IB/304 (NOTIFICATION CONCERNING SUBMISSION OR TRANSMITTAL OF PRIORITY DOCUMENT); PCT/IB/308 (FIRST NOTICE INFORMING THE APPLICANT OF THE COMMUNICATION OF THE INTERNATIONAL APPLICATION); PCT/RO/101 (REQUEST); POSTCARD FOR EARLY NOTIFICATION OF THE SERIAL NUMBER REQUEST.														
The following fees are submitted:														
21. <input checked="" type="checkbox"/> Basic National Fee (37 CFR 1.492(a))..... \$ 300.00	CALCULATION \$ 300.00	PTO USE ONLY												
22. <input checked="" type="checkbox"/> Examination Fee (37 CFR 1.492 (c)) If the written opinion prepared by ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .....\$ 0.00 All other situations ..... \$ 200.00	\$ 200.00													
23. <input checked="" type="checkbox"/> Search Fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$ 0.00 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$ 100.00 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB .....\$ 400.00 All other situations ..... \$ 500.00	\$ 400.00													
<b>Total of 21, 22 and 23</b>		<b>\$ 900.00</b>												
Additional fee for specification and drawings filed in paper over 100 sheets (excluding Sequence listing or computer program listing filed in an electronic medium). The fee is \$ 250.00 for each additional 50 sheets of paper or fraction thereof.														
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;">Total Sheets</th> <th style="width: 20%;">Extra Sheets</th> <th style="width: 20%;"># of each additional 50</th> <th style="width: 20%;">RATE</th> </tr> <tr> <td>32-100 =</td> <td>0/50 =</td> <td>0</td> <td>X \$250</td> </tr> </table>	Total Sheets	Extra Sheets	# of each additional 50	RATE	32-100 =	0/50 =	0	X \$250	\$ 0.00					
Total Sheets	Extra Sheets	# of each additional 50	RATE											
32-100 =	0/50 =	0	X \$250											
Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		\$ 0.00												
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 20%;"># FILED</th> <th style="width: 20%;"># EXTRA</th> <th style="width: 20%;">RATE</th> </tr> <tr> <td>TOTAL</td> <td>23-20=</td> <td>3</td> <td>X \$50</td> </tr> <tr> <td>INDEPENDENT</td> <td>2-3=</td> <td>0</td> <td>X \$200</td> </tr> </table>	CLAIMS	# FILED	# EXTRA	RATE	TOTAL	23-20=	3	X \$50	INDEPENDENT	2-3=	0	X \$200	\$ 150.00	
CLAIMS	# FILED	# EXTRA	RATE											
TOTAL	23-20=	3	X \$50											
INDEPENDENT	2-3=	0	X \$200											
Multiple dependent claims (if applicable) + \$360		\$ 0.00												
<b>TOTAL OF ABOVE CALCULATIONS =</b>		<b>\$ 1,050.00</b>												
Applicant claims small entity status. Fees above are reduced by 1/2.														
<b>SUBTOTAL =</b>		<b>\$ 1,050.00</b>												
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$ 0.00												
<b>TOTAL NATIONAL FEE =</b>		<b>\$ 1,050.00</b>												
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +		\$ 0.00												
<b>TOTAL FEES ENCLOSED =</b>		<b>\$ 1,050.00</b>												
Amount to be: refunded		\$												
Amount to be: charged		\$												

U.S. Application No.:  
Not Yet Assigned

10/572316

International  
Application No.:  
PCT/EP2004/052265

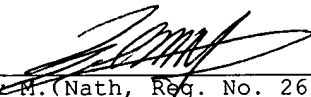
Attorney Docket: 27233U

- a. ☒ A check in the amount of \$ 1,050.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account Number: 14-0112 in the amount of \$ \_\_\_\_\_ to cover the above fees. (A duplicate copy of this sheet is enclosed.)
- c. ☒ The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account Number: 14-0112.
- d. ☐ Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit Card Information should not be included on this form. Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the application be restored to pending status.

Send All Correspondence To:

Gary M. Nath  
NATH & ASSOCIATES PLLC  
112 South West Street,  
Alexandria, VA 22314  
Tel: 1-703-548-6284  
Fax: 1-703-683-8396

  
\_\_\_\_\_  
Gary M. Nath, Reg. No. 26,965  
Sheldon M. McGee, Reg. No. 50,454  
Customer No. 34375

10/572316

MAIL STOP PCT

Attorney Docket: 27233U

Date: March 17, 2006

**IAP12 Rec'd PCT/PTO 17 MAR 2006**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

FINK-WAGNER, et al.

Serial No.: Not Yet Assigned

Filed: March 17, 2006

International Application: PCT/EP2004/052265

International Filing Date: 22 September 2004

Title: **COMPLIANCE MONITOR AND METHOD**

**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

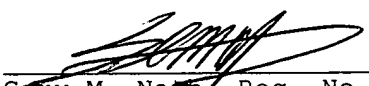
Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- 1) Application Data Sheet;
- 2) Transmittal Letter to U.S. Designated/Elected Office (DO/EO/US) Concerning Filing Under 35 U.S.C. 371;
- 3) International Publication Number: WO 2005/028008 A1, with PCT/ISA/210 (International Search Report); International Publication Date: 31 March 2005 (31.03.2005), which consists of 21 Pages:
  - 2 pages for the Cover Sheet, with Abstract,
  - 8 pages of Textual Specification,
  - 3 pages of 24 Claims,
  - 8 Sheets of Drawings;
- 4) **Preliminary Amendment with Appendices A, B, and C, to be Examined;**
- 5) Unexecuted Declaration and Power Of Attorney;
- 6) PCT/ISA/237 (Written Opinion of the International Searching Authority);
- 7) PCT/IB/304 (Notification Concerning Submission or Transmittal of Priority Document);
- 8) PCT/IB/308 (First Notice Informing the Applicant of the Communication of the International Application);
- 9) PCT/RO/101 (Request);
- 10) Check No.: 1825 in the Amount of \$ 1,050.00 for Basic Filing Fee, which includes the Search and Examination Fees (\$900), and for 3 Extra Total Claims over 20 (\$150), as a Large Entity;
- 11) Postcard for Early Notification of the Serial Number Request.

The Commissioner is hereby authorized to charge any deficiency or credit any excess to Deposit Account No. 14-0112.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

  
Gary M. Nath, Reg. No. 26,965  
Sheldon M. McGee, Reg. No. 50,454  
Customer No. 34375

NATH & ASSOCIATES PLLC  
112 South West Street,  
Alexandria, VA 22314  
GMN/SMM/le